



UNITED STATES
PATENT AND
TRADEMARK OFFICE

RECEIVED
MAY 20 2002

Sut
BYA

066-18-677001

FISH & RICHARDSON, P.C.
SAN DIEGO

MAY 10, 2002

PTAS

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov

FISH & RICHARDSON P.C.
SCOTT C. HARRIS
4350 LA JOLLA VILLAGE DRIVE, SUITE 500
SAN DIEGO, CALIFORNIA 92122



102081638A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

CORRECTED
NOTICE

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 01/16/2002

REEL/FRAME: 012496/0009
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
MALEKI, LUFTOLLAH

DOC DATE: 12/05/2001

ASSIGNOR:
ILCHENKO, VLADIMIR

DOC DATE: 12/05/2001

ASSIGNEE:
CALIFORNIA INSTITUTE OF TECHNOLOGY
1200 EAST CALIFORNIA BOULEVARD
PASADENA, CALIFORNIA 91125

SERIAL NUMBER: 09925713
PATENT NUMBER:

FILING DATE: 08/08/2001
ISSUE DATE:

MARGARET LASALLE, PARALEGAL
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

05-10-2002



102081638

Substitute Form PTO-1595
 Attorney Cocket No.: 06618-677001
 Client's Ref. No.: CIT-3288 / CIT-3415

ER SHEET

-Y

Commissioner for Patents: Please record the attached original document(s) or copy(ies).	
1. Name of conveying party(ies): Luftollah Maleki and Vladimir Ilchenko Additional name(s) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2. Name and address of receiving party(ies): California Institute of Technology 1200 East California Boulevard Pasadena, CA 91125 Additional names/addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: Execution Date: 12/05/2001	4. Application number(s) or patent number(s): If this document is being filed with a new application, the execution date of the application is: A. Patent Application No(s): 09/925,713 B. Patent No(s): Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
5. Name/address of party to whom correspondence concerning document should be mailed: SCOTT C. HARRIS PTO Customer No. 20985 Fish & Richardson P.C. 4350 La Jolla Village Drive, Suite 500 San Diego, California 92122	6. Total number of applications/patents involved: 1 7. Total fee (37 CFR §3.41): \$40 <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to charge Deposit Account. 8. Deposit Account No.: 06-1050 Please apply any additional charges, or any credits, to our Deposit Account No. 06-1050.
DO NOT USE THIS SPACE	
9. Statement and Signature: <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i>	
For Scott C. Harris Reg. No. 32,030 Name of Person Signing	 JAMES T. HAGLER REG. NO 40,631 Date December 5, 2001
Total number of pages including coversheet, attachments and document: 2	

10151245.doc

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner of Patents, Washington, D.C. 20231

December 5, 2001
 Date of Deposit

Signature

Norman Green
 Typed Name of Person Signing Certificate

ASSIGNMENT

For valuable consideration, we, LUFTOLLAH MALEKI of 1230 Glen Oaks Boulevard, Pasadena, CA 91105, and VLADIMIR ILCHENKO of 2115 La Canada Crest, #111, La Canada, CA 91011, hereby assign to California Institute of Technology, a non-profit corporation having a place of business at 1200 East California Boulevard, Pasadena, CA 91125; and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by us, entitled OPTICAL SENSING BASED ON WHISPERING-GALLERY-MODE MICROCAVITY, filed August 8, 2001, and assigned U.S. Serial Number 09/925,713; this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

12/5/01
Date

L. Maleki
Luftollah Maleki

12/5/01
Date

V. Ilchenko
Vladimir Ilchenko

10141375.doc

Attorney's Docket No.: 06618-677001 / CIT-3268 / CIT-3415

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Luftollah Maleki, et al Art Unit : 2877
Serial No.: 09/925,713 Examiner : Unknown
Filed : August 8, 2001
Title : OPTICAL SENSING BASED ON WHISPERING-GALLERY-MODE
MICROCAVITY

U.S. Patent and Trademark Office
Assignment Division
Box Assignments-CG-4
1213 Jefferson Davis Hwy., Suite 320
Washington, D.C. 20231

REQUEST TO CORRECT NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

Applicants request that the inventor's name be corrected on the Recordation Form Cover Sheet for the above case. The mistake was made by the Patent Office as evidenced by the Assignment and Recordation Form Cover Sheet, copies of which are enclosed.

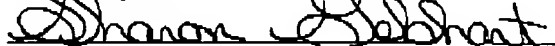
Please correct the inventor's name to read as follows:
Vladimir Ilchenko.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

April 12, 2002

Date of Deposit



Signature

Sharon Gebhart

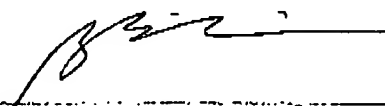
Typed or Printed Name of Person Signing
Certificate

Attorney's Docket No.: 06618-677001/CIT-3268/CIT-3415

No fee is believed to be due. Please apply any charges or credits to our Deposit Account No. 06-1050.

Respectfully submitted,

Date: April 12, 2002



Scott C. Harris
Reg. No. 32,030

BING AI
REG. NO 43,912

Fish & Richardson P.C.
PTO Customer No. 20985
4350 La Jolla Village Drive, Suite 500
San Diego, California 92122
(858) 678-5070 telephone
(858) 678-5099 facsimile

10177060.doc

SCAP
BYA

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

NOVEMBER 01, 2001

PTAS

FISH & RICHARDSON P.C.
SCOTT C. HARRIS
4350 LA JOLLA VILLAGE DRIVE, SUITE 500
SAN DIEGO, CALIFORNIA 92122



101830362A

06618-605001

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/27/2001

REEL/FRAME: 012115/0428
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MALEKI, LUTFOLLAH

DOC DATE: 07/31/2001

ASSIGNOR:

YAO, XIAOTIAN S.

DOC DATE: 08/17/2001

ASSIGNOR:

ILCHENKO, VLADIMIR

DOC DATE: 08/22/2001

ASSIGNEE:

CALIFORNIA INSTITUTE OF TECHNOLOGY
1200 EAST CALIFORNIA BOULEVARD
PASADENA, CALIFORNIA 91125

SERIAL NUMBER: 09816872

FILING DATE: 03/22/2001

PATENT NUMBER:

ISSUE DATE:

* No Docketing Required *	
Reviewed by Practice Systems	RECEIVED NOV 09 2001
Reviewed by Patent Secretary	
Initials:	

FISH & RICHARDSON P.C.
LA JOLLA, CA

012115/0428 PAGE 2

ALLYSON PURNELL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

08-31-2001

Substitute Form PTO-1595
 Attorney Docket No.: 08818-805001
 Client's Ref. No.: CIT 3188

R



HEET

101830362

Commissioner for Patents: Please record the attached original document(s) or copy(ies).	
1. Name of conveying party(ies): Lutfollah Maleki, Xiaotian S. Yao and Vladimir Ilichenko Additional name(s) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2. Name and address of receiving party(ies): California Institute of Technology 1200 East California Boulevard Pasadena, CA 91125 Additional names/addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: Execution Date: July 31, 2001; August 17, 2001; and August 22, 2001	8-21-01
4. Application number(s) or patent number(s): If this document is being filed with a new application, the execution date of the application is: A. Patent Application No(s): 09/816,872 B. Patent No(s): Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
5. Name/address of party to whom correspondence concerning document should be mailed: SCOTT C. HARRIS Fish & Richardson P.C. PTO Customer No. 20985 4350 La Jolla Village Drive, Suite 500 San Diego, California 92122	6. Total number of applications/patents involved: 1 7. Total fee (37 CFR §3.41): \$40 <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to charge Deposit Account. 8. Deposit Account No.: 06-1050 Please apply any additional charges, or any credits, to our Deposit Account No. 06-1050.
DO NOT USE THIS SPACE	
9. Statement and Signature: <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i> Bing Ai Reg. No. 43,312 Name of Person Signing Signature Date August 23, 2001	
Total number of pages including coversheet, attachments and document: 4	

10130074.doc

08/31/2001 BBYRME 00000073 09816872

01 FC:581

40,00 OP
 CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner of Patents, Washington, D.C. 20231.

August 23, 2001
 Date of Deposit

Signature
 Norman Green

Norman Green
 Typed Name of Person Signing Certificate

07/31/01 TUE 10:50 FAX

P&R


005

Attorney Docket No. 06618-605001/CIT3188

ASSIGNMENT

For valuable consideration, we, LUTFOLLAH MALEKI of Pasadena, California,
XIAOTIAN S. YAO of Diamond Bar, California, and VLADIMIR ILCHENKO of La Canada,
California, hereby assign to: California Institute of Technology, a non-profit corporation
having a place of business at: 1200 East California Boulevard, Pasadena, CA 91125; and its
successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and
interest throughout the world in the inventions and improvements which are subject of an
application for United States Patent signed by us, entitled NON-SPHERICAL WHISPERING-
GALLERY-MODE MICROCAVITY, filed March 22, 2001, and assigned U.S. Serial Number
09/816,872; this assignment including said application, any and all United States and foreign
patents, utility models, and design registrations granted for any of said inventions or
improvements, and the right to claim priority based on the filing date of said application under
the International Convention for the Protection of Industrial Property, the Patent Cooperation
Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize
the Assignee to apply in all countries in our name or in its own name for patents, utility models,
design registrations and like rights of exclusion and for inventors' certificates for said inventions
and improvements; and we agree for ourselves and our respective heirs, legal representatives and
assigns, without further compensation to perform such lawful acts and to sign such further
applications, assignments, Preliminary Statements and other lawful documents as the Assignee
may reasonably request to effectuate fully this assignment.

Date:

7/31/01
LUTFOLLAH MALEKI

Date:

XIAOTIAN S. YAO

Date:

VLADIMIR ILCHENKO

10117149.doc

FROM : General Photonics

FAX NO. : 909-902-5536

Aug. 17 2001 05:02PM

P5
0005

Attorney Docket No. 06618-605001/CTI3188

ASSIGNMENT

For valuable consideration, we, LUTFOLLAH MALEKI of Pasadena, California, XIAOTIAN S. YAO of Diamond Bar, California, and VLADIMIR ILCHENKO of La Canada, California, hereby assign to: California Institute of Technology, a non-profit corporation having a place of business at: 1200 East California Boulevard, Pasadena, CA 91125; and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by us, entitled NON-SPHERICAL WHISPERING-GALLERY-MODE MICROCAVITY, filed March 22, 2001, and assigned U.S. Serial Number 09/816,872; this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

Date: _____

LUTFOLLAH MALEKIDate: 8/17/01XIAOTIAN S. YAO

Date: _____

VLADIMIR ILCHENKO

10117149.doc

08/22/2001 14:21 FAX 010 000 0110
08/17/01 FRI 15:10 FAX

F&R

@uus

Attorney Docket No. 06618-605001/CTT3188

ASSIGNMENT

For valuable consideration, we, LUTFOLLAH MALEKI of Pasadena, California, XIAOTIAN S. YAO of Diamond Bar, California, and VLADIMIR ILCHENKO of La Canada, California, hereby assign to: California Institute of Technology, a non-profit corporation having a place of business at: 1200 East California Boulevard, Pasadena, CA 91125; and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by us, entitled NON-SPHERICAL WHISPERING-GALLERY-MODE MICROCAVITY, filed March 22, 2001, and assigned U.S. Serial Number 09/816,872; this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

Date: _____

LUTFOLLAH MALEKI

Date: _____

XIAOTIAN S. YAODate: 8/22/01_____
VLADIMIR ILCHENKO

10117149.doc